

\$ *See for #3*

Please type a plus sign (+) inside the box → ☐

PTO/SB/21 (12-97)
Approved for use through 9/30/00. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/760,196
	Filing Date	January 12, 2001
	First Named Inventor	Susanne Vindekilde
	Group Art Unit	2161
	Examiner Name	Not yet assigned
Total Number of Pages in This Submission		Attorney Docket Number 3524/12

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	- Preliminary Amendment
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	- Request for Corrected Filing Receipt
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Includes substitute drawing sheets for Figures 1-9 (9 pp)	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Matthew J. Marquardt, Reg. No. 40,997 Brown Raysman Millstein Felder & Steiner LLP
Signature	
Date	8 May 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 8 May 2001			
Typed or printed name	Matthew J. Marquardt		
Signature		Date	8 May 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



#3

PTO/SB/17 (09-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

\$1,588.00

Complete if Known

Application Number	09/760,196
Filing Date	January 12, 2001
First Named Inventor	Susanne Vindekilde
Examiner Name	Not yet assigned
Group Art Unit	2161
Attorney Docket No.	3524/12

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 02-4270
Deposit Account Name: Brown Raysman Millstein Felder & Steiner LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	\$710.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$) \$710.00

2. EXTRA CLAIM FEES

Total Claims: 26
Independent Claims: 10
Multiple Dependent:
Extra Claims: 6
Fee from below: 18
Fee Paid: \$108.00
Extra Claims: 7
Fee from below: 80
Fee Paid: \$560.00

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) \$668.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	80
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) \$210.00

SUBMITTED BY

Name (Print/Type) Matthew J. Marquardt

Registration No. (Attorney/Agent) 40,997

Complete (if applicable)

Telephone (212) 944-1515

Signature

Date

8 MAY 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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3524/12

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Susanne Vindekilde

Appln. No. : 09/760,196

Examiner : Not yet assigned

Filed : January 12, 2001

Group Art Unit: 2161

Title : METHOD AND SYSTEM FOR LISTING OFFERINGS OF
COMMERCIAL PAPER AND OTHER INTERESTS

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

We acknowledge receipt of the Notice To File Missing Parts of Application--Filing Dated
Granted dated March 8, 2001. Enclosed in response to said Notice are:

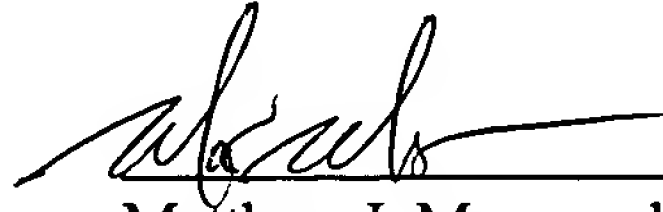
- Transmittal Sheet
- Fee Transmittal
- Copy of the Notice
- Executed Declaration
- Check for \$1,588 (covering filing fees of \$1,378, surcharge fee of \$130, and assignment
recordal fee of \$80)
- Substitute drawing sheets for Figures 1 – 9.

The Commissioner is hereby authorized to charge any additional fees which may be
required or credit any overpayment to our Deposit Account No. 02-4270.

I hereby certify that this paper, together with any paper referred to as enclosed or attached, is being deposited this date with the U.S. Postal Service as First Class Mail addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

Dated: 8 May 2001



Matthew J. Marquardt

Reg. No. 40,997

BROWN RAYSMAN MILLSTEIN FELDER
& STEINER LLP

120 West Forty-Fifth Street
New York, New York 10036
(212) 944-1515

A copy of this notice MUST be returned with the reply.

CAI
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/760,196	01/12/2001	Susan Vindekilde	3524/12

CONFIRMATION NO. 2676

FORMALITIES LETTER



OC000000005840944

Frank J. DeRosa
Brown Raysman Millstein Felder & Steiner LLP
120 West 45th Street
New York, NY 10036

Date Mailed: 03/08/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$668.
 - \$108 for 6 total claims over 20.
 - \$560 for 7 independent claims over 3 .
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1508.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

05/16/2001 NR001 00000042 09760196

710.00 OP
560.00 OP
108.00 OP
130.00 OP

01 FC:101
02 FC:102
03 FC:103
04 FC:105



3524/12

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Susanne Vindekilde

Serial No. : 09/760,196 Examiner: Not yet assigned

Filing Date : January 12, 2001 Art Unit: 2161

Title : METHOD AND SYSTEM FOR LISTING OFFERINGS OF
COMMERCIAL PAPER AND OTHER INTERESTS

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

Sir:


Please change the following information in the filing receipt in the Applicant(s) section.

Delete "Susan" and insert in its place --Susanne--.


A copy of the filing receipt with the change noted thereon is enclosed. Issuance of a corrected filing receipt is respectfully requested.

Respectfully submitted,

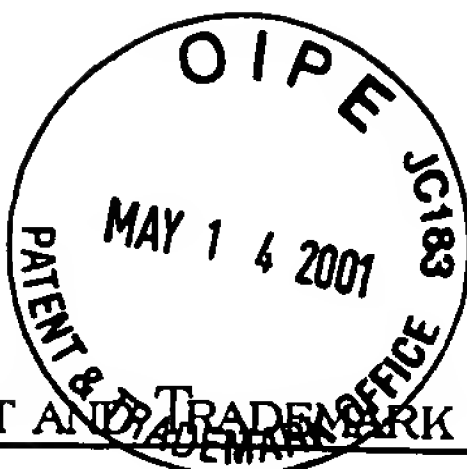
Dated: 8 MAY 2001


Matthew J. Marquardt
Reg. No. 40,997
BROWN RAYSMAN MILLSTEIN FELDER
& STEINER LLP
120 West Forty-Fifth Street
New York, New York 10036
(212) 944-1515

I hereby certify that this paper is being deposited this date with the
U.S. Postal Service as First Class Mail addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231


Matthew J. Marquardt

8 MAY 2001
Date



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/760,196	01/12/2001	2161	0.00	3524/12	9	26	10

CONFIRMATION NO. 2676

FILING RECEIPT



OC000000005840943

Frank J. DeRosa
Brown Raysman Millstein Felder & Steiner LLP
120 West 45th Street
New York, NY 10036

Date Mailed: 03/08/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

~~Susan~~ Vindekilde, Residence Not Provided;

Susanne

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 03/07/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

System and method for listing offerings of commercial paper and other interests

Preliminary Class

705

RECORDS UPDATED

03/12/01 *te*